

**FEC  
FORM 3X****REPORT OF RECEIPTS  
AND DISBURSEMENTS**  
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines.

12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) ▼

1101 New York Avenue, NW

8th Floor

☐ Check if different than previously reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C C00431312

3. IS THIS  
REPORT☒NEW  
(N)

OR

☐AMENDED  
(A)

## 4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15  
Quarterly Report (Q1)☐ July 15  
Quarterly Report (Q2)☐ October 15  
Quarterly Report (Q3)☐ January 31  
Year-End Report (YE)☐ July 31 Mid-Year  
Report (Non-election  
Year Only) (MY)☐ Termination Report  
(TER)(b) Monthly  
Report  
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☒ Nov 20 (M11)  
(Non-Election  
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☐ Sep 20 (M9)☐ Dec 20 (M12)  
(Non-Election  
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M M / D D D / Y Y Y Y Y Y

in the  
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M M / D D D / Y Y Y Y Y Y

in the  
State of

5. Covering Period

M M M / D D D / Y Y Y Y Y Y  
10 01 2015

through

M M M / D D D / Y Y Y Y Y Y  
10 31 2015

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen Jr.

Signature of Treasurer

Mr. Kenneth E. Bentsen Jr.

[Electronically Filed]

Date

M M M / D D D / Y Y Y Y Y Y  
11 20 2015

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office  
Use  
Only**FEC FORM 3X**  
Rev. 12/2004

# SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y Y  
10 / 01 / 2015 To: M M / D D / Y Y Y Y Y Y  
10 / 31 / 2015

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, <span style="border: 1px solid black; padding: 2px;">Y Y Y Y Y Y</span> <span style="border: 1px solid black; padding: 2px;">2015</span>		<span style="border: 1px solid black; padding: 2px;">147691.99</span>
(b) Cash on Hand at Beginning of Reporting Period.....	<span style="border: 1px solid black; padding: 2px;">104303.23</span>	
(c) Total Receipts (from Line 19) .....	<span style="border: 1px solid black; padding: 2px;">29917.83</span>	<span style="border: 1px solid black; padding: 2px;">325553.41</span>
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	<span style="border: 1px solid black; padding: 2px;">134221.06</span>	<span style="border: 1px solid black; padding: 2px;">473245.40</span>
7. Total Disbursements (from Line 31) .....	<span style="border: 1px solid black; padding: 2px;">34392.55</span>	<span style="border: 1px solid black; padding: 2px;">373416.89</span>
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	<span style="border: 1px solid black; padding: 2px;">99828.51</span>	<span style="border: 1px solid black; padding: 2px;">99828.51</span>
9. Debts and Obligations Owed <b>TO</b> the Committee (Itemize all on Schedule C and/or Schedule D) .....	<span style="border: 1px solid black; padding: 2px;">0.00</span>	
10. Debts and Obligations Owed <b>BY</b> the Committee (Itemize all on Schedule C and/or Schedule D) .....	<span style="border: 1px solid black; padding: 2px;">0.00</span>	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

## For further information contact:

Federal Election Commission  
999 E Street, NW  
Washington, DC 20463

Toll Free 800-424-9530  
Local 202-694-1100

# **DETAILED SUMMARY PAGE** of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M	M	/	D	D	/	Y	Y	Y	Y	Y	Y
1	0		0	1		2	0	1	5		

To:

M	M	/	D	D	/	Y	Y	Y	Y	Y	Y
1	0		3	1		2	0	1	5		

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A).....	24495.28	245739.29
(ii) Unitemized .....	30.00	18975.76
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ►	24525.28	264715.05
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs).....	5000.00	57000.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5) ..... ►	29525.28	321715.05
12. Transfers From Affiliated/Other Party Committees.....	0.00	0.00
13. All Loans Received .....	0.00	0.00
14. Loan Repayments Received.....	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5).....	392.55	3463.36
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....	0.00	375.00
17. Other Federal Receipts (Dividends, Interest, etc.).....	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3) .....	0.00	0.00
(b) Levin Funds (from Schedule H5) .....	0.00	0.00
(c) Total Transfers (add 18(a) and 18(b))..	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c)) ..... ►	29917.83	325553.41
20. Total Federal Receipts (subtract Line 18(c) from Line 19) ..... ►	29917.83	325553.41

**DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share .....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures .....	392.55	3666.89
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b)) .....	392.55	3666.89
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	34000.00	369750.00
24. Independent Expenditures (use Schedule E) .....	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees .....	0.00	0.00
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements .....	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share .....	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds .....	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	34392.55	373416.89
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	34392.55	373416.89

**DETAILED SUMMARY PAGE**  
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3) .....	29525.28	321715.05
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	29525.28	321715.05
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ..... ►	392.55	3666.89
37. Offsets to Operating Expenditures (from Line 15, page 3).....	392.55	3463.36
38. Net Operating Expenditures (subtract Line 37 from Line 36) ..... ►	0.00	203.53

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 6 OF 34

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Brian Peller**

Mailing Address 219 W 81 Street  
Apartment 3DF

City State Zip Code  
New York NY 10024-5808

FEC ID number of contributing  
federal political committee.

C

Name of Employer

KCG Holdings, Inc.

Occupation

COO Market Making

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

10 / 13 / 2015

**Transaction ID : 22743272**

Amount of Each Receipt this Period

250.00

Contribution

Full Name (Last, First, Middle Initial)

**B. Mr. David Krasner**

Mailing Address 100 Disbrow Lane

City State Zip Code  
New Rochelle NY 10804-3230

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Chief Financial Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2420.10

Date of Receipt

10 / 21 / 2015

**Transaction ID : 22748643**

Amount of Each Receipt this Period

750.00

Contribution

Full Name (Last, First, Middle Initial)

**C. Mr. Curt Bradbury**

Mailing Address 4 Edgehill Road

City State Zip Code  
Little Rock AR 72207-5444

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Stephens Inc.

Occupation

Chief Operating Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

10 / 26 / 2015

**Transaction ID : 22756986**

Amount of Each Receipt this Period

5000.00

Contribution

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

6000.00

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 7 OF 34

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Alexander I Rorke**

Mailing Address 700 Hinman Avenue

City

Evanston

State

IL

Zip Code

60202-2559

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Hilliard Lyons

Occupation

Senior Managing Director

Receipt For:

☐ Primary  
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22756987**

Amount of Each Receipt this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

**B. William Caccamise**

Mailing Address 35 Coleytown Road

City

Westport

State

CT

Zip Code

06880-1528

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Bank of America Merrill Lynch

Occupation

Managing Director

Receipt For:

☐ Primary  
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		29		2015

**Transaction ID : 22759653**

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

**C. Mr. Christopher Killian**

Mailing Address 137 Cleveland Drive

City

Croton On Hudson

State

NY

Zip Code

10520-2732

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary  
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

231.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789821**

Amount of Each Receipt this Period

38.50

**SUBTOTAL** of Receipts This Page (optional)..... ►

6038.50

**TOTAL** This Period (last page this line number only)..... ►

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER: PAGE 8 OF 34  
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Mr. David Krasner**

Mailing Address 100 Disbrow Lane

City

New Rochelle

State

NY

Zip Code

10804-3230

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Chief Financial Officer

Receipt For:

☐ Primary  
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

1670.10

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789823**

Amount of Each Receipt this Period

115.00

Full Name (Last, First, Middle Initial)

**B. Ms. Nancy Donohoe Lancia**Mailing Address 120 Broadway  
35th Floor

City

New York

State

NY

Zip Code

10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, State Govt. Affairs

Receipt For:

☐ Primary  
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

808.50

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789824**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**C. Theodore Lazo**Mailing Address 1101 New York Avenue, NW  
8th Floor

City

Washington

State

DC

Zip Code

20005-4279

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary  
☐ Other (specify) ▼

General

Aggregate Year-to-Date ▼

808.50

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789825**

Amount of Each Receipt this Period

38.50

**SUBTOTAL** of Receipts This Page (optional)..... ►

192.00

**TOTAL** This Period (last page this line number only)..... ►



**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER: PAGE 9 OF 34  
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Ms. Laura A. Martin**Mailing Address 120 Broadway  
35th FloorCity State Zip Code  
New York NY 10271-3599FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

231.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789826**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**B. Mr. Thomas F Price**Mailing Address 120 Broadway  
35th FloorCity State Zip Code  
New York NY 10271-3599FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1434.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789828**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**C. Thomas P. Tierney**Mailing Address 120 Broadway  
35th FloorCity State Zip Code  
New York NY 10271-3599FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

211.53

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789830**

Amount of Each Receipt this Period

19.23

**SUBTOTAL** of Receipts This Page (optional)..... ►

96.23

**TOTAL** This Period (last page this line number only)..... ►

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 10 OF 34

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Mr. Kenneth E. Bentsen Jr.**Mailing Address 1101 New York Ave, NW  
8th Floor

City	State	Zip Code
Washington	DC	20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4039.35

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10	/	14	/	2015

**Transaction ID : 22789831**

Amount of Each Receipt this Period

192.35

Full Name (Last, First, Middle Initial)

**B. Ms. Lisa Bleier**Mailing Address 1101 New York Ave, NW  
8th Floor

City	State	Zip Code
Washington	DC	20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

403.83

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10	/	14	/	2015

**Transaction ID : 22789832**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

**C. Ananias Blocker**Mailing Address 1101 New York Avenue, NW  
Suite 800

City	State	Zip Code
Washington	DC	20005-4279

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3300.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10	/	14	/	2015

**Transaction ID : 22789833**

Amount of Each Receipt this Period

300.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

511.58

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 11 OF 34  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. Ms. Kyle Brandon**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director, DOR

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2019.15

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 14 / 2015

**Transaction ID : 22789834**

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

## **B. Ms Kim Chamberlain**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

808.50

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 14 / 2015

**Transaction ID : 22789835**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

## **C. Mr Salvatore Chiarelli**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

202.65

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 14 / 2015

**Transaction ID : 22789836**

Amount of Each Receipt this Period

9.65

**SUBTOTAL** of Receipts This Page (optional)..... ►

144.30

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 OF 34  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. Ms. Cheryl Crispen**

Mailing Address 1101 New York Ave, NW  
8th Floor

City Washington State DC Zip Code 20005-4279

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2019.15

Date of Receipt

10 / 14 / 2015

**Transaction ID : 22789837**

Amount of Each Receipt this Period

96.15

Full Name (Last, First, Middle Initial)

## **B. Ms. Bradley Gaskins Edgell**

Mailing Address 1101 New York Ave, NW  
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

808.50

Date of Receipt

10 / 14 / 2015

**Transaction ID : 22789838**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

## **C. Tracy Eichler**

Mailing Address 120 Broadway  
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

403.83

Date of Receipt

10 / 14 / 2015

**Transaction ID : 22789839**

Amount of Each Receipt this Period

19.23

**SUBTOTAL** of Receipts This Page (optional)..... ►

153.88

**TOTAL** This Period (last page this line number only)..... ►

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 13 OF 34

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Ms. Lisa Fues**Mailing Address 1101 New York Ave, NW  
8th Floor

City	State	Zip Code
Washington	DC	20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

403.83

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789840**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

**B. Marin E. Gibson**Mailing Address 120 Broadway  
35th Floor

City	State	Zip Code
New York	NY	10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director &amp; Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1615.32

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		14		2015

**Transaction ID : 22789841**

Amount of Each Receipt this Period

76.92

Full Name (Last, First, Middle Initial)

**C. Mr. Kenneth E. Bentsen Jr.**Mailing Address 1101 New York Ave, NW  
8th Floor

City	State	Zip Code
Washington	DC	20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4231.70

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789864**

Amount of Each Receipt this Period

192.35

**SUBTOTAL** of Receipts This Page (optional)..... ►

288.50

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 14 OF 34  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. Ms. Lisa Bleier**

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

423.06

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789865**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

## **B. Ananias Blocker**

Mailing Address 1101 New York Avenue, NW  
Suite 800

City State Zip Code  
Washington DC 20005-4279

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Executive Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3600.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789866**

Amount of Each Receipt this Period

300.00

Full Name (Last, First, Middle Initial)

## **C. Ms. Kyle Brandon**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director, DOR

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2115.30

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789867**

Amount of Each Receipt this Period

96.15

**SUBTOTAL** of Receipts This Page (optional)..... ►

415.38

**TOTAL** This Period (last page this line number only)..... ►

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER: PAGE 15 OF 34  
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Ms Kim Chamberlain**Mailing Address 120 Broadway  
35th FloorCity State Zip Code  
New York NY 10271-3599FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director &amp; Counsel, State Gov

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789868**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**B. Mr Salvatore Chiarelli**Mailing Address 120 Broadway  
35th FloorCity State Zip Code  
New York NY 10271-3599FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

212.30

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789869**

Amount of Each Receipt this Period

9.65

Full Name (Last, First, Middle Initial)

**C. Ms. Cheryl Crispen**Mailing Address 1101 New York Ave, NW  
8th FloorCity State Zip Code  
Washington DC 20005-4279FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2115.30

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789870**

Amount of Each Receipt this Period

96.15

**SUBTOTAL** of Receipts This Page (optional)..... ►

144.30

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. Ms. Bradley Gaskins Edgell**

Mailing Address 1101 New York Ave, NW  
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

10 / 28 / 2015

Transaction ID : 22789871

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

## **B. Tracy Eichler**

Mailing Address 120 Broadway  
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

423.06

Date of Receipt

10 / 28 / 2015

Transaction ID : 22789872

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

## **C. Ms. Lisa Fues**

Mailing Address 1101 New York Ave, NW  
8th Floor

City Washington State DC Zip Code 20005-4269

FEC ID number of contributing federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

423.06

Date of Receipt

10 / 28 / 2015

Transaction ID : 22789873

Amount of Each Receipt this Period

19.23

**SUBTOTAL** of Receipts This Page (optional)..... ►

76.96

**TOTAL** This Period (last page this line number only)..... ►



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 17 OF 34  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Marin E. Gibson**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1692.24

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789874**

Amount of Each Receipt this Period

76.92

Full Name (Last, First, Middle Initial)

**B. Mr. Christopher Killian**

Mailing Address 137 Cleveland Drive

City State Zip Code  
Croton On Hudson NY 10520-2732

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789875**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**C. Deanna Kochan**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Human Resources Associate

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

210.00

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789876**

Amount of Each Receipt this Period

10.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

125.42

**TOTAL** This Period (last page this line number only)..... ►

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER: PAGE 18 OF 34  
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Mr. David Krasner**

Mailing Address 100 Disbrow Lane

City	State	Zip Code
New Rochelle	NY	10804-3230

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial MarkOccupation  
Chief Financial Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2535.10

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789877**

Amount of Each Receipt this Period

115.00

Full Name (Last, First, Middle Initial)

**B. Ms. Nancy Donohoe Lancia**Mailing Address 120 Broadway  
35th Floor

City	State	Zip Code
New York	NY	10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial MarkOccupation  
Managing Director, State Govt. Affairs

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789878**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**C. Theodore Lazo**Mailing Address 1101 New York Avenue, NW  
8th Floor

City	State	Zip Code
Washington	DC	20005-4279

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789879**

Amount of Each Receipt this Period

38.50

**SUBTOTAL** of Receipts This Page (optional)..... ►

192.00

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 19 OF 34

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Ms. Laura A. Martin**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.50

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789880**

Amount of Each Receipt this Period

38.50

Full Name (Last, First, Middle Initial)

**B. Lauren Murray**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Associate; Private Client Group

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

210.00

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789881**

Amount of Each Receipt this Period

10.00

Full Name (Last, First, Middle Initial)

**C. Mr. Thomas F Price**

Mailing Address 120 Broadway  
35th Floor

City State Zip Code  
New York NY 10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1472.50

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 28 / 2015

**Transaction ID : 22789882**

Amount of Each Receipt this Period

38.50

**SUBTOTAL** of Receipts This Page (optional)..... ►

87.00

**TOTAL** This Period (last page this line number only)..... ►

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER: PAGE 20 OF 34  
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Darrah Rafferty**Mailing Address 120 Broadway  
35th Floor

City	State	Zip Code
New York	NY	10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director, Human Resources

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

210.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789883**

Amount of Each Receipt this Period

10.00

Full Name (Last, First, Middle Initial)

**B. Thomas P. Tierney**Mailing Address 120 Broadway  
35th Floor

City	State	Zip Code
New York	NY	10271-3599

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Securities Industry and Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

230.76

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22789884**

Amount of Each Receipt this Period

19.23

Full Name (Last, First, Middle Initial)

**C. Mr. Paul E. Purcell**

Mailing Address 825 S. Washington Street

City	State	Zip Code
Hinsdale	IL	60521-4530

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Robert W. Baird &amp; Co. Incorporated

Occupation

Chairman, President &amp; CEO

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
10		06		2015

**Transaction ID : 22798334**

Amount of Each Receipt this Period

5000.00

Contribution

**SUBTOTAL** of Receipts This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

5029.23

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 21 OF 34

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Ms. Patricia W. Purcell**

Mailing Address 825 South Washington

City

Hinsdale

State

IL

Zip Code

60521-4530

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Homemaker

Occupation

Homemaker

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y  
10 / 06 / 2015

**Transaction ID : 22798336**

Amount of Each Receipt this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

**B.**

Mailing Address

City

State

Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

**C.**

Mailing Address

City

State

Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

5000.00

24495.28

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 22 OF 34

☐ 11a ☐ 11b ☒ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

## **A. J.P. Morgan Chase & Co. Political Action Committee**

Mailing Address 10 South Dearborn Streer  
IL 1-0520

City State Zip Code  
Chicago IL 60603

FEC ID number of contributing  
federal political committee.

**C** C00128512

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

**10 / 13 / 2015**

**Transaction ID : 22743271**

Amount of Each Receipt this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

## **B. HSBC Political Action Committee**

Mailing Address 26525 N. Riverwoods Blvd.

City State Zip Code  
Mettawa IL 60045

FEC ID number of contributing  
federal political committee.

**C** C00033423

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

**10 / 06 / 2015**

**Transaction ID : 22798332**

Amount of Each Receipt this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

## **C.**

Mailing Address

City State Zip Code

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

Amount of Each Receipt this Period

**SUBTOTAL** of Receipts This Page (optional)..... ►

5000.00

**TOTAL** This Period (last page this line number only)..... ►

5000.00

**SCHEDULE A (FEC Form 3X)**  
**ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER: PAGE 23 OF 34  
(check only one)

<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input checked="" type="checkbox"/> 15	<input type="checkbox"/> 16
			<input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Securities Industry and Financial Markets Association**Mailing Address 120 Broadway  
Floor 35City State Zip Code  
New York NY 10271FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3463.36

Date of Receipt

M M	/	D D	/	Y Y Y Y Y Y
10		27		2015

**Transaction ID : 22799579**

Amount of Each Receipt this Period

392.55

Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial)

**B.**

Mailing Address

City State Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M	/	D D	/	Y Y Y Y Y Y

Amount of Each Receipt this Period

Full Name (Last, First, Middle Initial)

**C.**

Mailing Address

City State Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M	/	D D	/	Y Y Y Y Y Y

Amount of Each Receipt this Period

**SUBTOTAL** of Receipts This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

392.55

392.55





**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 25 OF 34

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. PNC Bank**

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y
10		02		2015

Mailing Address 1400 K Street, NW

City	State	Zip Code
Washington	DC	20005

**Transaction ID : 22798341**Purpose of Disbursement  
Bank Fee

001

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

35.68

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

Bank Fee

Full Name (Last, First, Middle Initial)

**B.**

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y

Mailing Address

City	State	Zip Code

Purpose of Disbursement

Category/  
Type

Amount of Each Disbursement this Period

Candidate Name

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

Full Name (Last, First, Middle Initial)

**C.**

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y

Mailing Address

City	State	Zip Code

Purpose of Disbursement

Category/  
Type

Amount of Each Disbursement this Period

Candidate Name

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President
State:	District:

Disbursement For:	<input type="checkbox"/> Primary	<input type="checkbox"/> General
	<input type="checkbox"/> Other (specify) ▼	

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

35.68

392.55

**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 26 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Dold For Congress**

Mailing Address PO Box 6312

City	State	Zip Code
Libertyville	IL	60048

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Robert J. Dold**Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2016  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: IL District: 10

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737652**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. Crowley For Congress**

Mailing Address 84-56 Grand Avenue

City	State	Zip Code
Elmhurst	NY	11373

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Joseph Crowley**Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2016  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: NY District: 07

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737653**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**C. Ann Wagner For Congress**

Mailing Address PO Box 50

City	State	Zip Code
Ballwin	MO	63022

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Ann Wagner**Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2016  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: MO District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737654**

Amount of Each Disbursement this Period

1500.00
---------

Contribution

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3500.00
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**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 27 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Terri Sewell For Congress**

Mailing Address P.O. Box 1964

City	State	Zip Code
Birmingham	AL	35201

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Terri A. Sewell**Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2016  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: AL District: 07

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737655**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. George Holding For Congress Inc.**

Mailing Address PO Box 97187

City	State	Zip Code
Raleigh	NC	27624

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. George Holding**Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2016  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: NC District: 13

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737656**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**C. Brady For Congress**

Mailing Address P.O. Box 8277

City	State	Zip Code
The Woodlands	TX	77387

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Kevin Patrick Brady**Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2016  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: TX District: 08

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737657**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3000.00
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**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 28 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Kirk For Senate**

Mailing Address P.O. Box 8

City Winnetka	State IL	Zip Code 60093
------------------	-------------	-------------------

Purpose of Disbursement  
Contribution

Candidate Name

**Sen. Mark Steven Kirk**

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: IL District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737658**

Amount of Each Disbursement this Period

2500.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. Keeping America Rolling PAC (KAR PAC)**

Mailing Address PO Box 185

City Harrisburg	State PA	Zip Code 17101
--------------------	-------------	-------------------

Purpose of Disbursement  
Contribution

Candidate Name

**Keeping America Rolling PAC (KAR PAC)**

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:
<input type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737659**

Amount of Each Disbursement this Period

2500.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**C. COMMITTEE FOR HISPANIC CAUSES/BUILDING OUR LEADERSHIP DIVERSITY PAC (CHC BOLD PAC)**

Mailing Address PO BOX 70980

City Washington	State DC	Zip Code 20024
--------------------	-------------	-------------------

Purpose of Disbursement  
Contribution

Candidate Name

COMMITTEE FOR HISPANIC CAUSES/BUILDING OUR LEADERSHIP DIVERSITY PAC (CHC BOLD PAC)

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:
<input type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		07		2015

**Transaction ID : 22737664**

Amount of Each Disbursement this Period

2500.00
---------

Contribution

**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

7500.00
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**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 29 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Montanans For Tester**

Mailing Address PO Box 3171

City	State	Zip Code
Billings	MT	59103

Purpose of Disbursement  
Contribution

Candidate Name

**Sen. Jon Tester**

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2018

<input type="checkbox"/> Primary	<input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼	

State: MT District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748592**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. Sean Patrick Maloney For Congress**

Mailing Address 18 W Main St

City	State	Zip Code
Beacon	NY	12508

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Sean Maloney**

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016

<input checked="" type="checkbox"/> Primary	<input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼	

State: NY District: 18

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748603**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**C. Sherman For Congress**

Mailing Address 777 S. Figueroa St., Ste. 4050

City	State	Zip Code
Los Angeles	CA	90017

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Brad Sherman**

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016

<input checked="" type="checkbox"/> Primary	<input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼	

State: CA District: 27

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748606**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3000.00
---------

**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 30 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Cleaver For Congress**

Mailing Address 4801 Main Street, Suite 1000

City	State	Zip Code
Kansas City	MO	64112

Purpose of Disbursement  
Contribution

011

Candidate Name

**Rep. Emanuel Cleaver II**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MO District: 05

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748608**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. Duffy For Congress**

Mailing Address PO Box 538

City	State	Zip Code
Wausau	WI	54402

Purpose of Disbursement  
Contribution

011

Candidate Name

**Rep. Sean P. Duffy**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: WI District: 07

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748615**

Amount of Each Disbursement this Period

2000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**C. Poliquin For Congress**

Mailing Address PO Box 50

City	State	Zip Code
Oakland	ME	04963

Purpose of Disbursement  
Contribution

011

Candidate Name

**Rep. Bruce Poliquin**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: ME District: 02

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748616**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

4000.00
---------

**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 31 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Bill Foster For Congress Committee**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

Mailing Address P.O. Box 9104

City	State	Zip Code
Aurora	IL	60598

**Transaction ID : 22748617**Purpose of Disbursement  
Contribution

011

Amount of Each Disbursement this Period

Candidate Name

**Rep. Bill Foster**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: IL District: 14

Contribution

1000.00

Full Name (Last, First, Middle Initial)

**B. Huizenga For Congress**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

Mailing Address 441 Williams Court

City	State	Zip Code
Zeeland	MI	49464

**Transaction ID : 22748633**Purpose of Disbursement  
Contribution

011

Amount of Each Disbursement this Period

Candidate Name

**Rep. Bill Huizenga**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MI District: 02

Contribution

1500.00

Full Name (Last, First, Middle Initial)

**C. People For Ben**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

Mailing Address PO Box 31129

City	State	Zip Code
Santa Fe	NM	87594

**Transaction ID : 22748634**Purpose of Disbursement  
Contribution

011

Amount of Each Disbursement this Period

Candidate Name

**Rep. Ben Lujan Jr.**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NM District: 03

Contribution

1000.00

**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3500.00

**SCHEDULE B (FEC Form 3X)**  
**ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 32 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Friends Of Mia Love**

Mailing Address PO Box 255

City	State	Zip Code
Riverton	UT	84065

Purpose of Disbursement  
Contribution

Candidate Name

**Mia Love**

Office Sought:	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State: UT	District: 04

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

011

Category/  
Type

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748635**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. Ryan for Congress**

Mailing Address Po Box 1919

City	State	Zip Code
Jonesville	WI	53547

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Paul Ryan**

Office Sought:	<input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State: WI	District: 01

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

011

Category/  
Type

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748636**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**C. NY Jobs PAC**

Mailing Address P.O. Box 708

City	State	Zip Code
Melville	NY	11747

Purpose of Disbursement  
Contribution

Candidate Name

**NY Jobs PAC**

Office Sought:	<input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President
State:	District:

Disbursement For:
<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

011

Category/  
Type

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748638**

Amount of Each Disbursement this Period

1000.00
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Contribution

**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3000.00



**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 33 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Building Americas Republican Representation PAC (Barr PAC)**Mailing Address 332 W Lee Highway  
#303

City Warrenton State VA Zip Code 20186

Purpose of Disbursement  
Contribution

Candidate Name

**Building Americas Republican Representation PAC (Barr PAC)**Office Sought: ☐ House  
☐ Senate  
☐ PresidentDisbursement For:  
☐ Primary ☐ General  
☐ Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748639**

Amount of Each Disbursement this Period

2500.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. Jobs and Innovation Matter PAC (JIM PAC)**

Mailing Address PO BOX 15320

City Washington State DC Zip Code 20003

Purpose of Disbursement  
Contribution

Candidate Name

**Jobs and Innovation Matter PAC (JIM PAC)**Office Sought: ☐ House  
☐ Senate  
☐ PresidentDisbursement For:  
☐ Primary ☐ General  
☐ Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		21		2015

**Transaction ID : 22748640**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**C. Friends Of Bill Posey**

Mailing Address P. O. Box 360877

City Melbourne State FL Zip Code 32936

Purpose of Disbursement  
Contribution

Candidate Name

**Rep. Bill Posey**Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2016  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: FL District: 15

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22757059**

Amount of Each Disbursement this Period

1000.00
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Contribution

**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

4500.00
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**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 34 OF 34

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**Securities Industry and Financial Markets Association Political Action Committee**

Full Name (Last, First, Middle Initial)

**A. Blaine For Congress**

Mailing Address PO Box 125

City	State	Zip Code
Holts Summit	MO	65043

Purpose of Disbursement  
Contribution

011

Candidate Name

**Rep. Blaine Luetkemeyer**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MO District: 09

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22757065**

Amount of Each Disbursement this Period

1000.00
---------

Contribution

Full Name (Last, First, Middle Initial)

**B. Tiberi For Congress**Mailing Address 2931 E Dublin Granville Road  
Suite 190

City	State	Zip Code
Columbus	OH	43231

Purpose of Disbursement  
Contribution

011

Candidate Name

**Rep. Patrick J. Tiberi**Category/  
Type

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2016
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: OH District: 12

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		28		2015

**Transaction ID : 22757076**

Amount of Each Disbursement this Period

1000.00
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Contribution

Full Name (Last, First, Middle Initial)

**C.**

Mailing Address

City	State	Zip Code
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Purpose of Disbursement

Candidate Name

Category/  
Type

Office Sought:	<input type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For:
<input type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
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Amount of Each Disbursement this Period

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**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

2000.00

34000.00